APPENDIX, 2(a)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.

10/629,522

Confirmation No.: 6873

Applicant:

Chu et al.

Filed:

July 28, 2003

Group Art Unit

1642

Examiner:

Not assigned

For:

NEW TRANSFECTION

REAGENTS

Docket No.

: 61-03A

Customer No.

: 23713

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as Express Mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 <u>EV 437 337 891 US</u>

on 5/4/04

<u>KNUUTUU</u> Lea Murray

INFORMATION DISCLOSURE STATEMENT

MAIL STOP AMENDMENT Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

The Examiner is respectfully requested to consider the Information Disclosure Statement submitted by Applicants in U.S. serial number 09/438,365 filed November 12, 1999, from which the above-referenced application takes priority under 35 U.S.C. §120. Further, Applicants respectfully direct the Examiner's attention to any other items cited by the Examiner during the prosecution of the patent application serial number 09/438,365. It is believed unnecessary under 37 C.F.R. '1.98(d) to submit copies of these previously submitted or cited items which are listed on the enclosed Form 1449.

The Examiner's attention is drawn to the following commonly-owned, unpublished patent applications which may be considered to contain relevant subject matter: U.S. patent application serial no. 09/937,837, filed January 7, 2002 (Atty. docket 20-03); U.S. patent application serial no. 09/326,106, filed June 4, 1999 (Atty. docket no. 45-93A); and U.S. patent application serial no. 10/762,914, filed January 21, 2004 (Atty. docket no. 60-93E). Copies of these applications were previously submitted during prosecution of patent application serial number 09/438,365.

It is believed unnecessary under 37 C.F.R. 1.98(d) to submit copies of these previously submitted or cited items which are listed above or on the enclosed PTO-1449 forms or Electronic Information Disclosure Statements.

Where a month of a reference is not listed, the year of publication is sufficiently earlier than the effective U.S. filing date so that the particular month of publication is not an issue.

This information is cited in a spirit of forthrightness and cooperation to enable the applicants to obtain that measure of protection for the invention to which there is entitlement. However, no representation is made that the listed art actually qualifies as

prior art under the patent statute and the mere use of PTO-1449 is not an admission that all listed references are prior art. No representation is made that applicants know of the best art.

It is believed that this submission does not require the payment of any fees. If this is incorrect, however, please deduct the appropriate fee from deposit account 07-1969.

Respectfully submitted,

Sally A. Syllivan Reg. No. 32,064

GREENLEE, WINNER AND SULLIVAN, P.C. 5370 Manhattan Circle, Suite 201; Boulder, CO 80303 Telephone: (303) 499-8080; Facsimile: (303) 499-8089

Attorney Docket No. 61-03A

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page 1 of 1

Form PTO-1849

ATX DOCKET NO. 61-03A | SERIAL NO. 10/629,522 | FILING DATE 7/28/2003

APPLICANT Chu et al. | GROUP 1642

U.S. PATENT DOCUMENTS

Exmr. Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
	6,093,564	07/25/2000	Budowsky et al.	C12N	7/06	
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Document Number WO 98/29541	Date 09/07/1998	Country	Class C12N	Subclass 15/00	Translation Yes/No
WO 90/29341	09/07/1990	PCI	CIZIN	15/00	

OTHE	ER PRIOR ART (including Author, Title, Date, Pertinent Pages, etc.)

PLEASE ACKNOWLEDGE RECEIPT OF THE FOLLOWING:

Information Disclosure Statement - 2 pages Copies of Form 1449 from parent case - 113 pages

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in re USSN 10/629,522

Attorney docket no. 61-03A

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	M1	2,695,314	11/23/1954	Kosmin, H.	260	584	08/25/1951
	AB1	2,901,461	08/25/1959	Auerbach et al.	260	47	05/05/1955
	AC1	3,152,188	10/06/1964	Kirkpatrick, W.H.	260	584	11/15/1960
	AD1	4,897,355	01/30/1990	Epostein et al	435	240.2	10/29/1987
	AE1	5,171,678	12/15/1992	Behr et al.	435	172.3	04/17/1990
	AF1	5,208,036	05/04/1993	Eppstein et al.	424	450	11/16/1990
	AG1	5,279,833	01/18/1994	Rose, J.K.	424	450	04/04/1990
	AH1	5,283,185	02/01/1994	Epand et al.	435	172.3	08/28/1991
	AI1	5,334,761	08/02/1994	Gebeyehu et al.	564	197	08/28/1992
	AJ1	5,455,335	10/03/1995	Kahne et al.	536	5	04/08/1994
	AK1	5,459,127	10/17/1995	Felgner et -al.	514	7	09/16/1993
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	AB2	_	50,289	08/27/1996	Epostein et al.	564		293	04/03/1995
	ACZ	1	39,466	12/31/1996	Felgner et al.	514		44	01/26/1995
	AD2	_	57,774	09/16/1997	Figuly, G.D.	424		78.08	11/07/1996
	AEZ	5,6	74,908	10/07/1997	Haces et al.	514		642	12/20/1993
	AF2		03,055	12/30/1997	Felgner et al.	514		44	01/26/1994
	AG2	5,7	05 , 385	01/06/1998	Bally et al.	435		320.1	06/07/1995
	AH2	5,7	19,131	02/17/1998	Harris et al.	514		44	10/20/1995
	SIA .	5,7	36,392	04/07/1998	Hawley-Nelson et al.	435		320.1	06/04/1996
	AJ2	5,7	3,613	05/19/1998	Ansell et al.	514		2	05/16/1995
	AK2	5,7	33,565	07/21/1998	Lee et al.	514		44	02/01/1996
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ļ	AB3	5,785,992	07/28/1998	Anseil et al.	424		450	09/29/1995
ļ	AC3	5,795,587	08/18/1998	Gao et al.	424		450	01/23/1995
	A03	5,830,430	11/03/1998	Unger et al.	424		1.21	02/21/1995
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	. AF3	5,834,439	11/10/1998	Haces et al.	514		42	01/13/1997
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	A13	5,908,635	06/01/1999	Thierry, A.	424		450	08/05/1994
	AJ3	5,935,936	08/10/1999	Fasbender et al.	514		44	06/03/1996
	AK3	5,948,925	09/07/1999	Keynes et al.	552		540	05/06/1997
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

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	A84	5,962,533	10/05/1999	Bergeron, Jr., R.J.	1214	1014	02/00/1770
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ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18 Stylesheet Version v18.0

> Title of Invention

New Transfection Reagents

Application Number:

09/438365

09/438365

Confirmation Number:

9217

First Named Applicant: Attorney Docket Number: 0942.4650001

Yongliang Chu

Examiner:

Janet L. Epps

Search string:

(2654785 or 3324182 or 3369905 or 4143003 or 4889953 or 4967008 or 4946787 or 5049386 or 5091576 or 5166320 or 5198423 or 5266106 or 5264618 or 5338532 or 5354844 or 5498522 or 5527524 or 5532142 or 5547932 or 5560929 or 5578475 or 5583198 or 5587441 or 5587446 or 5589392 or 5631329 or 5574142 or 5635487 or 5658776 or 5661025 or 5670347 or 5714166 or 5736387 or 5759805 or 5773527 or 5837533 or 5854224 or 5861397 or 5866613 or 5906922 or

5837092 or 2867665).pn.

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Note: Applicant is not required to submit a paper copy of cited US Patent Documents

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ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18 Stylesheet Version v18.0

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New Transfection Reagents

Application Number:

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Confirmation Number:

9217

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Yongliang Chu

Attorney Docket Number: 0942.4650001

Examiner:

Janet L. Epps

Search string:

(4235871 or 4501728 or 4683195 or 4683202 or 4737323 or 4767699 or 4800159 or 4812449 or 4837028 or 4889818 or 4962022 or 4965188 or 5047342 or 5079352 or 5165925 or 5186923 or 5187085 or 5244797 or 5264423 or 5270179 or 5276019 or 5277897 or 5286717 or 5328470 or 5328984 or 5350672 or 5374553 or 5409818 or 5436149 or 5455166 or 5484702 or 5498523 or 5500356 or 5506212 or 5510239 or 5510476 or 5512438 or 5512462-or 5514577 or 5514787 or 5519134 or 5521291 or 5521302 or 5541307 or 5543507 or 5545540 or 5554746 or 5580859 or --

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Signature

Examiner Name	Date

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APPLICANT Chu et al.			GROUP 1642

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ELECTRONIC INFORMATION DISCLOSURE STATEMENT

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Application Number:

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Confirmation Number:

9217

First Named Applicant: Attorney Docket Number: 0942.4650001

Yongliang Chu

Examiner:

Janet L. Epps

Search string:

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Signature

Examiner Name	Date

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APPLICANT Chu et al.		GROUP 1642	

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Page 1 of 42 ATTY. DOCKET NO. 0942.4650001/RWE/THN APPLICATION NO. 09/438,365 FORM PTO-1449 APPLICANT EIGHTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT Chu et al FILING DATE GROUP November 12, 1999 U.S. PATENT DOCUMENTS EXAMINER DOCUMENT NUMBER AA A.B AC AD ΑE AF ΑG AΗ ΑI λJ AK POREIGN PATENT DOCUMENTS EXAMINER INITIAL DOCUMENT NUMBER DATE COUNTRY CLASS SUB-CLASS TRANSLATION EP 0 329 822 A2 08/30/1939 Europe Yes 08/23/1990 WIPO AM11 WO 90/09180 A1 No Yes AN11 WO 90/11092 A1 10/04/1990 WIPO No Yes WO 91/17424 A1 11/14/1991 WIPO A011 No Yes 04/16/1992. WIPO OTHER (Including Author, Title, Date, Pertinent Pages, etc.) AR AS Albrecht, T., et al., "Cationic lipide mediated transfer of c-abl and bcr antisense oligonucleotides to immature normal myeloid cells: uptake, biological effects and modulation of gene expression," Ann. Hematol. 72:73-79, Springer-Verlag (1996) AT <u>57</u> EXAMINER DATE CONSIDERED Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with

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ATTY DOCKET NO. 61-03A	SERIAL NO. 10/629,522	FILING DATE 7/28/2003	
APPLICANT Chu et al.		GROUP 1642	

Page 2 of 42 ATTY. DOCKET NO. 0942.4650001/RWE/THN APPLICATION NO. 09/438.365 FORM PTO-1449 APPLICANT Chu et al EIGHTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT FILING DATE GROUP November 12 1635 U.S. PATENT DOCUMENTS DOCUMENT NUMBER CLASS SUB-CLASS FILING DATE INITIAL DATE NAME AA AB AC ΑD ΑE AF AG AH AI AJ. AK POREIGN PATENT DOCUMENTS EXAMINER INITIAL DOCUMENT NUMBER DATE COUNTRY CLASS SUB-CLASS WO 92/06200 A1 04/16/1992 WIPO Yes 11/26/1992 WIPO AM12 WO 92/20697 A1 No Yes WO 93/03709 A1 03/04/1993 WIPO No WO 93/08130 A1 04/29/1993 WIPO A012 No Yes OTRER (Including Author, Title, Date, Pertinent Pages, etc.) Aslanyan, V.M. et al., "Conformation and Thermal Stability of DNA in Aqueous Solutions of B-Alanine and y-Aminobutyric Acid," Biophysics 29:615-620, Pergamon Press, Ltd. (1984) AR .. 58 .. Astatke, M., et al., "How E. coli DNA Polymerase I (Klenow fragment) Distinguishes between Deoxy- and Dideoxynucleotides, * J. Mol. Biol. 278:147-165, Academic Press, Ltd. (April 1998) AS <u>58</u> Barnes, W.M., "The fidelity of Taq polymerase catalyzing PCR is improved by an N-terminal deletion," Gene 112:29-35, Elsevier Science Publishers B.V. (1992) AT <u>58</u> EXAMINER DATE CONSIDERED EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

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APPLICANT Chu et al.		GROUP 1642

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Page 3 of 42 ATTY. DOCKET NO. 0942.4650001/RWE/THN APPLICATION NO. 09/438,365 FORM PTO-1449 APPLICANT Chu et al EIGHTH SUPPLEMENTAL FILING DATE GROUP INFORMATION DISCLOSURE STATEMENT 1635 November 12, U.S. PATENT DOCUMENTS EXAMINER INITIAL CLASS SUB-CLASS FILING DATE DOCUMENT NUMBER DATE NAME AA AB AC AD ΑĖ AF AG AΗ ΑI AJ AK FOREIGN PATENT DOCUMENTS EXAMINER TRANSLATION SUB-CLASS DOCUMENT NUMBER DATE COUNTRY CLASS INITIAL 02/03/1994 WIPO No AL13 WO 94/02499 A1 Yes 04/14/1994 WIPO No AM13 WO 94/07899 Al Yes AN13 WO 94/08004 A1 04/14/1994 WIPO No Yes 07/07/1994 WIPO No WO 94/14475 A1 A013 Yes 08/04/1994 WIPO WO 94/17093 A1 No OTHER (Including Author, Title, Date, Pertinent Pages, etc.) Baskaran, N., et al., "Uniform Amplification of a Mixture of Deoxyribonucleic Acids with Varying GC Content," Genome Res. 6:633-638, Cold Spring Harbor AR <u>59</u> Laboratory Press (1996) Behr, J-P., "Gene Transfer with Synthetic Cationic Amphiphiles: Prospects for Gene Therapy," Bioconjug. Chem. 5:382-389, American Chemical Society (1994) AS <u>59</u> Benoist, C., et al., "In vivo sequence requirements of the SV40 early promoter region," Nature 290:304-310, Macmillan Journals, Ltd. (1991) ΑŤ <u>59</u> EXAMINER DATE CONSIDERED EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with

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APPLICANT Chu et al.	•	GROUP 1642

APPLICANT Chu et al.						ATTY. DOCKET NO.		APPLICATION	Page 4 of NO.
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